

FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 1530.0310002/EKS/EJH/ALS	APPLICATION NO. 09/937,604	6:37
	APPLICANT Wheeler, Carl J.		
	U.S.C. § 371 DATE September 26, 2001	GROUP 2151	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
Bjb	AA1	5,264,618	11/23/1993	Felgner et al.			04/16/1991
Bjb	AB1	5,334,761	08/02/1994	Gebeyehu et al.			08/28/1992
Bjb	AC1	5,459,127	10/17/1995	Felgner et al.			09/16/1993
Bjb	AD1	5,580,859	12/03/1996	Felgner et al.			03/18/1994
Bjb	AE1	5,589,466	12/31/1996	Felgner et al.			01/26/1995
Bjb	AF1	5,641,665	06/24/1997	Hobart et al.			11/28/1994
Bjb	AG1	5,676,954	10/14/1997	Brigham			05/08/1995
Bjb	AH1	5,693,622	12/02/1997	Wolff et al.			06/07/1995
Bjb	AI1	5,703,055	12/30/1997	Felgner et al.			01/26/1994
Bjb	AJ1	6,147,055	11/14/2000	Hobart et al.			03/14/1997
Bjb	AK1	6,235,310 B1	05/22/2001	Wang et al.			04/03/1998

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
Bjb	AL1	WO 94/29469	12/22/1994	WIPO			Yes No
Bjb	AM1	WO 97/19675	06/05/1997	WIPO			Yes No
Bjb	AN1	WO 00/57917	10/05/2000	WIPO			Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
Bjb	AR	1	Abbas, A.K. et al., "Functional diversity of helper T lymphocytes," Nature 383:787-793, Macmillan Journals Ltd. (1996).
Bjb	AS	1	Barnfield, C. et al., "The Cellular Basis of Immune Induction at Mucosal Surfaces by DNA Vaccination," International Conference: Development and Clinical Progress of DNA Vaccines, p. 28b (October 1999).
Bjb	AT	1	Barnfield, C. et al., "The Cellular Basis of Immune Induction at Mucosal Surfaces by DNA Vaccination," Developments in Biological Standardization, Volume 104, Development and Clinical Progress of DNA Vaccines, Brown, F., et al., eds., Basel, Karger, pp.159-164 (July 2000).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
BDD	AA2	6,399,588 B1	06/04/2002	Hobart et al.	/	/	07/28/2000
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BDD	AR	2	DeBruyne, L.A. et al., "Lipid-mediated gene transfer of viral IL-10 prolongs vascularized cardiac allograft survival by inhibiting donor-specific cellular and humoral immune responses," <i>Gene Ther.</i> 5:1079-1087 (August 1998).
BDD	AS	2	Donnelly, J.J. et al., "Adjuvant Effects of DNA Vaccines," in <i>Vaccines 97</i> , Cold Spring Harbor Laboratory Press, pp. 105-111 (1997).
BDD	AT	2	D'Souza, S. et al., "Improved Tuberculosis DNA Vaccines by Formulation in Cationic Lipids," <i>Infect. Immun.</i> 70:3681-3688, American Society for Microbiology (July 2002).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
B7b	AR	3	Etchart, N. et al., "Class I-restricted CTL induction by mucosal immunization with naked DNA encoding measles virus haemagglutinin," J. Gen. Virol. 78:1577-1580, Society of General Microbiology (1997).				
B7b	AS	3	Felgner, P.L. et al., "Lipofection: A highly efficient, lipid-mediated DNA-transfection procedure," Proc. Natl. Acad. Sci. USA 84:7413-7417, The National Academy of Sciences of the United States of America (1987).				
B7b	AT	3	Felgner, J.H. et al., "Enhanced Gene Delivery and Mechanism Studies with a Novel Series of Cationic Lipid Formulations" J. Biol. Chem. 269:2550-2561, The American Society for Biochemistry and Molecular Biology, Inc. (1994).				

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
b7D	AR	<u>4</u>	Felgner, P.L., "Nonviral Strategies for Gene Therapy," Sci. Am. 276:102-106, Scientific American, Inc. (1997).
b7D	AS	<u>4</u>	Fox, J.L., "No winners against AIDS," Bio/Technology 12:128, Nature Publishing Co. (1994).
b7D	AT	<u>4</u>	Golding, B. et al., "The Potential for Recruiting Immune Responses Toward Type 1 or Type 2 T Cell Help," Am. J. Trop. Med. Hyg. 50:33-40, The American Society of Tropical Medicine and Hygiene (1994).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

BDD	AR	5	Gramzinski, R.A. et al., "Immune Response to a Hepatitis B DNA Vaccine in Aotus Monkeys: A Comparison of Vaccine Formulation, Route, and Method of Administration," Mol. Med. 4:109-118, The Picower Institute Press (February 1998).
BDD	AS	5	Gregoriadis, G. et al., "Liposome-mediated DNA vaccination," FEBS Lett. 402:107-110, Elsevier Science B.V. (1997).
BDD	AT	5	Ishii, N. et al., "Cationic Liposomes Are a Strong Adjuvant for a DNA Vaccine of Human Immunodeficiency Virus Type 1," AIDS Res. Hum. Retroviruses 13:1421-1428, Mary Ann Liebert, Inc. (1997).

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BDD	AR	6	Klavinskis, L.S. et al., "Mucosal immunization with DNA-liposome complexes," Vaccine 15:818-820, Elsevier Science Ltd. (1997).
BDD	AS	6	Klavinskis, L.S. et al., "Intranasal Immunization with Plasmid DNA-Lipid Complexes Elicits Mucosal Immunity in the Female Genital and Rectal Tracts," J. Immunol. 162:254-262, American Association of Immunologists (January 1999).
BDD	AT	6	"C ₃₅ H ₇₁ N ₂ O ₂ ," Chem. Abstracts 133(Formula Index):5164F, American Chemical Society (December 2000).

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BJD	AR	2	Norman, J.A. et al., "Development of improved vectors for DNA-based immunization and other gene therapy applications," Vaccine 15:801-803, Elsevier Science Ltd. (1997).				
BJD	AS	2	Norman, J. et al., "Adjuvants for Plasmid DNA Vaccines," in <i>Methods in Molecular Medicine</i> , Vol. 29, DNA Vaccines: Methods and Protocols, Lowrie, D.B. and R.G. Whalen, eds., Humana Press Inc., Totowa, NJ, pp. 185-196 (August 1999).				
BJD	AT	2	Okada, E. et al., "Intranasal Immunization of a DNA Vaccine with IL-12- and Granulocyte- Macrophage Colony-Stimulating Factor (GM-CSF)-Expressing Plasmids in Liposomes Induces Strong Mucosal and Cell-Mediated Immune Responses Against HIV-1 Antigens," <i>J. Immunol.</i> 159:3638-3647, American Association of Immunologists (1997).				

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B7D	AR	8	Parker, S. et al., "Tissue Distribution of the Cytofectin Component of a Plasmid-DNA/Cationic Lipid Complex Following Intravenous Administration in Mice," <i>Hum. Gene Ther.</i> 8:393-401, Mary Ann Liebert, Inc. (1997).
B7D	AS	8	Raz, E. et al., "Preferential induction of a Th ₁ immune response and inhibition of specific IgE antibody formation by plasmid DNA immunization," <i>Proc. Natl. Acad. Sci. USA</i> 93:5141-5145, The National Academy of Sciences of the United States of America (1996).
B7D	AT	8	Sankar, V. et al., "Salivary gland delivery of pDNA-cationic lipoplexes elicits systemic immune responses," <i>Oral Dis.</i> 8:275-281, Blackwell Munksgaard (November 2002).

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B7D	AR	2	Stephan, D.J. et al., "A New Cationic Liposome DNA Complex Enhances the Efficiency of Arterial Gene Transfer In Vivo," Hum. Gene Ther. 7:1803-1812, Mary Ann Liebert, Inc. (1996).
B7D	AS	2	Ulmer, J.B. et al., "Heterologous Protection Against Influenza by Injection of DNA Encoding a Viral Protein," Science 259:1745-1749, American Association for the Advancement of Science (1993).
B7D	AT	2	Wheeler, C.J. et al., "A novel cationic lipid greatly enhances plasmid DNA delivery and expression in mouse lung," Proc. Natl. Acad. Sci. USA 93:11454-11459, The National Academy of Sciences of the United States of America (1996).

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B7D	AR	10	Wheeler, C.J. et al., "Converting an alcohol to an amine in a cationic lipid dramatically alters the co-lipid requirement, cellular transfection activity and the ultrastructure of DNA-cytfectin complexes," <i>Biochimica et Biophysica Acta</i> 1280:1-11, Elsevier Science B.V. (1996).
B7D	AS	10	Wheeler, C.J., "Adjuvant compositions and methods for enhancing immune responses to polynucleotide-based vaccines," <i>Chem. Abstracts</i> 133:636-637, Abs. No. 133:280556a, American Chemical Society (November 2000).
B7D	AT	10	Yasutomi, Y. et al., "A Vaccine-Elicited, Single Viral Epitope-Specific Cytotoxic T Lymphocyte Response Does Not Protect against Intravenous, Cell-Free Simian Immunodeficiency Virus Challenge," <i>J. Virol.</i> 69:2279-2284, American Society for Microbiology (1995).

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B7D	AR	<u>11</u>	Yokoyama, M. et al., "DNA immunization: Effects of vehicle and route of administration on the induction of protective antiviral immunity," <i>FEMS Immunol. Med. Microbiol.</i> 14:221-230, Elsevier Science B.V. (1996).
B7D	AS	<u>11</u>	International Search Report for International Patent Application No. PCT/US00/08282, mailed October 30, 2000.
B7D	AT	<u>11</u>	Pending Non-Provisional United States Patent Application No. 09/580,463, Wheeler, Carl J., filed May 26, 2000 (NOT PUBLISHED).

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B7D	AR	12	Pending Non-Provisional United States Patent Application No. 09/092,486, Wheeler, Carl J., filed June 5, 1998 (NOT PUBLISHED).
B7D	AS	12	Pending Non-Provisional United States Patent Application No. 09/557,907, Horton et al., filed April 21, 2000 (NOT PUBLISHED).
B7D	AT	12	Allowed Non-Provisional United States Patent Application No. 08/486,533, Felgner et al., filed June 7, 1995 (NOT PUBLISHED).

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Bjb	AR	13	Pending Non-Provisional United States Patent Application No. 09/478,457, Wolff et al., filed January 6, 2000 (NOT PUBLISHED).
Bjb	AS	13	Allowed Non-Provisional United States Patent Application No. 09/588,655, Wolff et al., filed June 6, 2000 (NOT PUBLISHED).
Bjb	AT	13	Allowed Non-Provisional United States Patent Application No. 09/534,943, Wheeler, Carl J., filed March 24, 2000 (NOT PUBLISHED).

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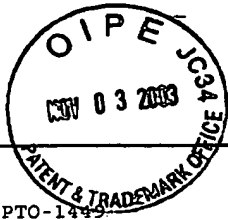
BJD	AR	14	Pending Non-Provisional United States Patent Application No. 10/127,683, Hobart et al., filed April 23, 2002 (NOT PUBLISHED).
BJD	AS	14	Pending Non-Provisional United States Patent Application No. 10/202,858, Felgner et al., filed July 26, 2002 (NOT PUBLISHED).
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FIRST SUPPLEMENTAL INFORMATION DISCLOSURE
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APPLICATION NO.
09/937,604

APPLICANT
Wheeler, Carl J.

35 U.S.C. § 371 DATE
September 26, 2001

GROUP
1632

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
BSB	AB2	2003/0091544 A1	05/15/2003	Parker et al.			03/13/2002
BSB	AC2	2003/0191082 A1	10/09/2003	Wheeler, C. J.			03/19/2003
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR		
	AS		
BSB	AT	14	Pending Non-Provisional United States Patent Application No: 10/658,688, Hermanson, Gary G., filed September 10, 2003 (NOT PUBLISHED)

EXAMINER

DATE CONSIDERED 2/19/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.